

**UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK**

NORTHWEST BIOTHERAPEUTICS, INC.,

Plaintiff,

- against -

CANACCORD GENUITY LLC, CITADEL
SECURITIES LLC, G1 EXECUTION
SERVICES LLC, GTS SECURITIES LLC,
INSTINET LLC, LIME TRADING CORP.,
SUSQUEHANNA INTERNATIONAL
GROUP LLP, and VIRTU AMERICAS LLC,

Defendants.

No. 1:22-cv-10185-GHW-GWG

**RULE 7.1 CORPORATE
DISCLOSURE STATEMENT**

Pursuant to Rule 7.1 of the Federal Rules of Civil Procedure, Defendant Instinet, LLC (“Instinet”), through its counsel, states that Instinet is a wholly-owned direct subsidiary of Instinet Holdings Incorporated, which in turn, is a wholly-owned direct subsidiary of Instinet Incorporated, which in turn, is a wholly-owned direct subsidiary of Nomura Holding America Inc., which is turn, is a wholly-owned direct subsidiary of Nomura Holdings, Inc., a Japanese publicly-traded corporation. No publicly-held company owns more than 10% of Nomura Holdings, Inc.’s stock.

Dated: January 13, 2023

By: /s/ Daniel P. Filor

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